



Canadian Lawyers Liability Assurance Society

2021/2022 Renewal Application for
Excess Professional Liability Insurance

This application is made by the undersigned member (the "Firm") of the Canadian Lawyers Liability Assurance Society ("CLLAS") for issuance by CLLAS to the Firm of policies of professional liability insurance.

Note: The policies applied for are "claims made" policies and only provide coverage for claims first made against the Insured during the policy period.

Please answer **ALL** questions. Where space to answer is insufficient, attach a separate sheet.

1. Name of Firm (Named Insured): Goodmans LLP

2. Address of principal office: 333 Bay Street, Suite 3400, Bay Adelaide Centre
Toronto, ON M5H 2S7

Phone: (416) 979-2211 Fax: (416) 979-1234

3. Address, phone, and fax numbers of other office(s):

4. Management or service companies, date(s) established, and services provided:

5. Is the Firm a multi-disciplinary partnership ("MDP")? ☐ yes ☐ no

If "yes", provide date MDP was established and name the non-lawyer partners and their respective disciplines.



6. Since the most recent CLLAS application, has the name of the Firm been changed, or has any firm merged into the Firm? If so, give full particulars (including the number of lawyers merged into the Firm in each such situation) unless previously provided.

7. Attached, as Appendix A, is a list of the Firm's predecessor firms resulting from mergers since July 1, 1987. Is the list complete?

☐ yes ☐ no

If "no", please provide update.

Note: A predecessor firm is one a) which has undergone dissolution; and b) in which more than 50% of the partners and employed lawyers became partners and employed lawyers of the Firm.

8. Please complete Appendices B and C to provide the following details as of February 15, 2021:
- a) Number of lawyers (including partners, employed lawyers, counsels/of counsels, and lawyer consultants).
 - b) Number of patent & trademark agents (who are not lawyers).
 - c) Number of other non-lawyer consultants.
 - d) Number of paralegals.
 - e) Number of other employees.
 - f) If applicable, the number of lawyers who are not partners, employed lawyers, counsels/of counsels, or lawyer consultants of the Firm who, directly or indirectly, provide services to professional corporations which are partners of the Firm. Please identify such individuals and professional corporations as requested in Appendix B.

Note: A common professional corporation structure is one where the lawyer remains a partner of the firm but the firm contracts with a professional corporation to provide the services of the partner to the firm via the professional corporation. Those lawyers would be accounted for in a) above. Question f) is intended to address an alternative structure whereby the professional corporation itself is a partner of the firm and it contracts directly or via another professional corporation with a lawyer to provide professional services.



9. Please show the Firm's practice split by indicating the approximate percentage of billings for the following areas of law:

	<u>This Year</u>	<u>Last Year</u>
a) Corporate and Commercial Law	_____ %	54.4 %
b) Criminal Law	_____ %	0 %
c) Family Law	_____ %	0 %
d) Intellectual Property	_____ %	0.5 %
e) Labour Law	_____ %	0.3 %
f) Litigation	_____ %	23.2 %
g) Real Estate	_____ %	5.5 %
h) Securities Law	_____ %	0 %
i) Tax Matters	_____ %	1.5 %
j) Wills, Estates, Trust	_____ %	0 %
k) Other (please specify)	_____ %	14.5 %

10. Have any of the lawyers, or non-lawyer consultants listed in Appendices B and C, or former lawyers, or former non-lawyer consultants of the Firm been the subject of disciplinary proceedings, suspended, or disbarred from practice since the date of the Firm's most recent CLLAS application?

☐ yes ☐ no

If "yes", please provide full details:

11. Attached, as Appendix D, is a description of the "Associated Firms" and "Umbrella Firms" which are identified in the Associated Firm Endorsement (Endorsement No. 1) of the current CLLAS Primary Policy. Please verify and update where appropriate and advise CLLAS of any anticipated changes.
12. Canadian law society programs may restrict coverage if Professional Services are provided outside of Canada or if the Professional Services relate to non-Canadian law. The CLLAS Primary Policy also excludes, coverage for lawyers providing Professional Services from a U.S. office, as well as the practice of non-Canadian law. Please provide details of such services in Appendix E.
13. Attached, as Appendix F, is a schedule of claims and notices which have been given to the applicable law society and CLLAS as of December 31, 2020. Please verify and provide any changes in status. All known claims or notices that are not on the schedule, including those reported to any underlying insurance carrier, should be reported up to the date of this application. **Notices on this application are not considered proper notice of a claim.**

If applicable, CLLAS will also require an update on claims of your predecessor firms which were reported prior to any merger which are paid or currently reserved in excess of \$500,000.



Note: All claims or notices require the following details: name of lawyer, name of claimant, date claim reported, error date, date claim closed (if applicable), a brief description of the claim including damages sought, amount paid (legal & indemnity, and amount reserved (legal & indemnity).

14. Will the Firm purchase coverage under the CLLAS optional excess layer?

☐ yes ☐ no

If "yes", please indicate preferred limit option:

☐ \$10M xs \$160M ☐ \$20M xs \$160M
☐ \$30M xs \$160M ☐ \$40M xs \$160M
☐ \$50M xs \$160M ☐ \$60M xs \$160M

If you currently buy the maximum limits available (i.e., \$250MM including the umbrella layer) would you be interested in purchasing an additional umbrella layer of \$50MM?
(Note that this question is for planning purposes only.)

☐ Interested ☐ Not Interested

15. Under Appendix G, please provide a full description of the Firm's most current risk management policies and procedures or, if appropriate, an update to your response to Appendix G of last year's renewal application.

16. Please complete Appendix H to provide underwriting information with respect to cyber liability.

17. Please attach, with Appendix I, a copy of the Firm's 2021 Professional Liability Insurance Application and Exemption Form submitted to LawPro.

The undersigned hereby declares that the above statements and particulars, including those set forth in Appendices A through I, are true and that no material facts have been omitted, suppressed or misstated and that this application, which is deemed to include the information from any previous applications completed by the Firm for CLLAS, shall be the basis of each of the insurance contracts with CLLAS.

Signature: _____

(Must be signed by a Partner of the Firm)

Name of Signatory: _____

(Who shall be the designated contact person between CLLAS & the Firm as respects this insurance.)

Date: _____

APPENDIX A

Predecessor Firms

Name of Firm

Goodmans LLP

Note: A predecessor firm is one a) which has undergone dissolution; and b) in which more than 50% of the partners and employed lawyers became partners and employed lawyers of the Firm.

[illegible]

APPENDIX B

Active Members of the Firm as of February 15, 2021

Name of Firm

Goodmans LLP

Updated as of (Enter Date):

February 15, 2021

	CANADA					
	<u>B.C.</u>	<u>Alberta</u>	<u>Ontario</u>	<u>Quebec</u>	<u>Nova Scotia</u>	<u>Other Provinces</u> (Please specify, change heading)
a) No. of Lawyers ^{/1}						
Partners (no PC's)			43			
Associates			67			
Consultants			8			
b) No. of Patent & Trademark Agents ^{/2}			1			
c) No. of Non-lawyer Consultants ^{/3}			9			
d) No. of Paralegals			16			
e) No. of Other Employees			0			
f) No. of lawyers who are not employees of the Firm who, directly or indirectly, provide services to professional corporations which are partners of the Firm ^{/4}			71			

OUTSIDE OF CANADA ^{/5}				
<u>U.S.</u>	<u>China</u>	<u>South Africa</u>	<u>Other Countries</u> (Please specify, change heading)	<u>Other Countries</u> (Please specify, change heading)

/1 Including partners, employed lawyers, counsels/of counsels and lawyer consultants

/2 These are not lawyers.

/3 Please complete Appendix C if individuals are reported under this category

/4 Lawyers reported here should not be included under a).(See note at Question 8.f) of the application.]

/5 Please complete Question 3 of Appendix E to provide further information on lawyers reported under these columns

Please attach a list of the lawyers reported under a) above, showing in each case his/her full name, date of call, date joined the Firm and, if applicable, date became partner.

Please attach a list of the names of the individuals reported under f) above, together with the names of the professional corporations to which they provide services.

If underlying insurance is purchased outside any Canadian mandatory law society program for lawyers, please provide full details under Appendix E, Question 4.

If members of the Firm, either alone or with others, engage in the conduct of any profession or business other than the practice of law (e.g. financial management, mortgage brokering or other consulting; underwriting or brokering of securities or investment banking activities; real estate appraisal; actuarial analysis) either directly or indirectly as an agent, employee or partner of any organization, please provide full particulars such as percentage of practice other than Law.

APPENDIX C
ACTIVE NON-LAWYER CONSULTANTS OF THE FIRM AS OF MARCH 1, 2021
(Excluding Patent & Trademark Agents)

Name of Firm: Goodmans LLP

SECTION A

Professional Service Provided or Type of Profession	# Person in Same Profession	Location (Province)	Client Contact	Advise Clients	Supervised by Lawyers	Underlying Insurance ^{/1}	% of Time Docketed ^{/2}
Matthew Buck (Scientist)	1	ON	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	100%
Andre Lapierre (Scientist)	1	ON	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	100%
Rosa Rahimpour (Scientist)	1	ON	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	100%
Carl Scott (Scientist)	1	ON	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	100%
Eugene Cipparone (Director, Professional Support)	1	ON	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	0%
Tess DiPonio (Director, Law Clerk Programs)	1	ON	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	0%
Sandra Montanino (Director, Professional Development)	1	ON	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	0%
Michel Lederman (Co-Director, Student & Associate Programs)	1	ON	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	0%
All Mirsky (Co-Director, Student & Associate Programs)	1	ON	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	0%

APPENDIX D

"Associated Firms" and "Umbrella Firms"

Name of Firm

Goodmans LLP

1	The Named Insured under the CLLAS policies prior to January 1, 2001 was Goodman Phillips & Vineberg, formerly Goodman & Goodman, a partnership constituted under the laws of Ontario.
2	The Firm had changed its name from Goodman & Goodman to Goodman Phillips & Vineberg effective March 6, 1995 and practised under that name from its office in Toronto until January 1, 2001.
3	Phillips & Vineberg of Montreal also practised under the name of Goodman Phillips & Vineberg for the same period.
4	These two firms had entered into an arrangement with Freeman & Company of Vancouver in 1989 and formed an international partnership and national affiliation known as Goodman Freeman Phillips & Vineberg. In 1993, Freeman & Company dissolved and the partnership continued to operate under the name of Goodman Phillips & Vineberg.
5	Goodman Phillips & Vineberg (Ontario) and Goodman Phillips & Vineberg (Montreal) maintained offices in Vancouver, New York, Paris, Singapore, Hong Kong and Beijing. Vancouver and Hong Kong each have local partners. Exposures not covered by the Associated Firm Endorsement for Goodman Phillips & Vineberg (Ontario) were covered by the policies arranged for Goodman Phillips & Vineberg (Montreal), e.g. the New York office.
6	Effective January 1, 2001, the Named Insured was amended to Goodmans LLP, a partnership constituted under the laws of Ontario with (i) Goodmans, a partnership constituted under the laws of British Columbia, and (ii) Goodmans, a partnership registered under the laws of Hong Kong and their predecessor firms being added as Additional Named Insureds.
7	Effective January 1, 2001, Fong & Ng (former associated firm of the international partnership in Hong Kong) is being recognized as an associated firm of the umbrella firm Goodmans, a partnership registered under the laws of Hong Kong.
8	On February 1, 2001, Goodman Phillips & Vineberg in Montreal merged with Davies, Ward & Beck and operates under the name of Davies Ward Phillips & Vineberg LLP. The international partnership dissolved on the same day.
9	On May 10, 2001, Goodman Phillips & Vineberg LLP, upon receipt of permission from the Law Society of Hong Kong, changed its name to Goodmans LLP.
10	On December 31, 2005, Goodmans' Hong Kong office was closed.
11	The Firm currently has an office in Toronto. All the lawyers in the Vancouver office joined MacPherson Leslie & Tyerman LLP on January 1, 2015 and that office closed on the same date.
	There is an endorsement on the policy in respect of: a) the previous international partnerships and national affiliations; and b) Goodmans, a partnership registered under the laws of Hong Kong, to cover possible claims relating to the period during which they were in operation.

APPENDIX E
PROFESSIONAL SERVICES PROVIDED RELATING TO NON-CANADIAN LAW &
PROFESSIONAL SERVICES PROVIDED IN THE U.S. & OUTSIDE OF CANADA

Name of Firm: Goodmans LLP

1. Professional Services Provided by Canadian Lawyers Relating to Non-Canadian Law

Please provide the following information on lawyers primarily resident in Canada who provide Professional Services relating to non-Canadian law (not including those which are incidental to the practice of Canadian law). Please only report on lawyers with more than 5% of docketed time in this category.

Name of Lawyer	Location of Office	% of Docketed Time Relating to Non-Canadian Law

2. Professional Services Provided by Canadian Lawyers from a U.S. Office

Please provide the following information on lawyers primarily resident in Canada who provide Professional Services part time in an office or branch of the Firm located in the United States. Please only report on lawyers with more than 5% of docketed time in this category.

Name of Lawyer	Location of Office	% of Docketed Time in the U.S. Office

3. Professional Services Provided by Offices Outside of Canada

Please provide the following information on all lawyers reported in Appendix B under the "Outside of Canada" column.

Location of Office	# of Lawyers Practise 100% Canadian Law	# of Lawyers Practise 100% Non-Canadian Law	# of Lawyers Practise both Canadian & Non-Canadian Law

4. Other Insurance

For the exposures identified in Questions 1, 2 and 3 above, please provide details of specific insurance protection (e.g. coverage provided for a non-Canadian office or by a non-Canadian law society) as well as a copy of the policies.

Type of Exposure: _____
Insurance Carrier: _____
Policy Number: _____
Period of Insurance: _____
Retroactive Date: _____
Limits: \$ _____ per claim, \$ _____ annual aggregate

Type Exposure: _____
Insurance Carrier: _____
Policy Number: _____
Period of Insurance: _____
Retroactive Date: _____
Limits: \$ _____ per claim, \$ _____ annual aggregate

Type of Exposure: _____
Insurance Carrier: _____
Policy Number: _____
Period of Insurance: _____
Retroactive Date: _____
Limits: \$ _____ per claim, \$ _____ annual aggregate

Type of Exposure: _____
Insurance Carrier: _____
Policy Number: _____
Period of Insurance: _____
Retroactive Date: _____
Limits: \$ _____ per claim, \$ _____ annual aggregate


reviewed




As at: December 31, 2020


Claim No	LS File #	Report Date	Error Date	Insured	Claimant	Close Date	Law Society						CLLAS									
							LS Indemnity Paid	LS Other Paid	LS Legal Paid	LS Indemnity Reserve	LS Legal Reserve	LS Total Incurred	CLLAS Indemnity Paid	CLLAS Legal Paid	CLLAS Adjusting Paid	CLLAS Recov Other Paid	CLLAS Adjusting Reserve	CLLAS Indemnity Reserve	CLLAS Legal Reserve	CLLAS Recov Other Reserve	CLLAS Total Incurred	
CLLAS1988-012	L0307	1-Sep-1987	1-Mar-1982	JON R. JOHNSON	ATTORNEY GENERAL	10-Sep-1993	\$ -	\$ -	\$ 6,262	\$ -	\$ -	\$ 6,262	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1989-029	M1580	1-Apr-1989	1-Sep-1987	D. PIERCE	STEVEN SHEIR	1-Oct-1989	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1989-064	M2032	1-Jun-1989	1-Jun-1982	AARON KWINTER	RICHARD MEYERS	1-Sep-1990	\$ 41,984	\$ -	\$ 4,870	\$ -	\$ -	\$ 46,854	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1989-094	M0348	31-Oct-1988	30-Jun-1985	DANIEL J. GORMLEY	SULLIVAN FILMS INC.	10-Jun-1994	\$ 800,000	\$ -	\$ 133,629	\$ -	\$ -	\$ 933,629	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1991-006	ONR076	2-Aug-1990	30-Apr-1990	RANDOLPH WEISZ	CARLO SIMONI ET AL	1-Oct-1990	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1991-015	O0481	30-Sep-1990	31-Jul-1989	MARGARET MACDONALD	WIDPAR FINANCIAL GROUP INC.	28-Nov-1997	\$ 30,000	\$ 4,983	\$ 30,992	\$ -	\$ -	\$ 65,975	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1991-030	ONR239	1-Nov-1990	1-Jan-1990	ARTHUR JACQUES	TRUSTEE IN BANKRUPTCY PEAT MARWICK LIMITED	16-Mar-1993	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1991-058	P0170	31-Jan-1991	31-Jan-1991	Donald G. Pierce	RYLAR DEV.	22-Jul-1994	\$ -	\$ -	\$ 7,658	\$ -	\$ -	\$ 7,658	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1991-069	P0442	14-Feb-1991	1-Dec-1983	PHINEAS SCHWARTZ	ROGER CUNNINGTON	31-May-1993	\$ -	\$ -	\$ 7,491	\$ -	\$ -	\$ 7,491	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1991-070	P0449	1-Mar-1991	18-Feb-1989	THOMAS M. MacDONALD	WILLIAM HO (716358 ONTARIO LIMITED)	1-Sep-1992	\$ -	\$ -	\$ 6,739	\$ -	\$ -	\$ 6,739	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1991-124	P1974	28-Jun-1991	5-Jun-1991	Ira Berg	GRAND HARBOUR DEVELOPMENT LIMITED	24-Mar-1994	\$ -	\$ 1,806	\$ 12,582	\$ -	\$ -	\$ 14,388	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-008	P2542	1-Aug-1991	1-Jan-1989	Donald Pierce	GEOFFREY N. FERNANDES	1-Nov-1991	\$ -	\$ -	\$ 511	\$ -	\$ -	\$ 511	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-014	P2668	30-Sep-1991	30-Apr-1988	Gerald Ross	STEL HOTELS	28-Nov-1997	\$ -	\$ 107	\$ 48,556	\$ -	\$ -	\$ 48,663	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-035	P3417	11-Nov-1991	28-Jun-1988	STEPHEN BELGUE	DENNIS AND JUDY JEWITT	1-Mar-1992	\$ -	\$ -	\$ 648	\$ -	\$ -	\$ 648	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-053	N/A	1-Dec-1991	1-Sep-1990	T.B.A. T.B.A.	TRITEN CORPORATION	1-Jun-1992	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-060	P3857	1-Dec-1991	1-Nov-1989	Donald G. Pierce	BARCLAY-GRAYSON CORPORATION	1-Dec-1992	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-071	Q0094	31-Jan-1992	31-Dec-1990	HARRY RADOMSKI	HERITAGE SILVERSMITHS/Wallace Int'l	29-Jun-1999	\$ -	\$ -	\$ 14,168	\$ -	\$ -	\$ 14,168	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-073	Q0406	28-Feb-1992	31-Jan-1989	WILLIAM V. ALCAMO	THE BITOVE CORPORATION	30-Apr-1999	\$ -	\$ 2,978	\$ 91,325	\$ -	\$ -	\$ 94,303	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-090	Q0372	7-Feb-1992	1-Dec-1988	JEFFREY CITRON	CHAUSURES ALDO INC./ALDO SHOES INC./ROYAL TRUST	1-Aug-1992	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-099	P3222	28-Oct-1991	25-May-1988	Gerald Ross	FALLBROOK HOLDINGS	22-Nov-1993	\$ -	\$ -	\$ 3,444	\$ -	\$ -	\$ 3,444	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1992-149	Q1728	30-Jun-1992	30-Jun-1992	PHINEAS SCHWARTZ	PINETREE DEVELOPMENT	18-Apr-1994	\$ -	\$ 1,274	\$ 1,212	\$ -	\$ -	\$ 2,486	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1993-076	R0838	12-Mar-1993	11-Feb-1993	Joel Schachter	SATIN FINISH HARDWARE FLOORING LTD.	22-Sep-1993	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1993-096	R1348	26-Apr-1993	30-Sep-1992	WILLIAM ALCAMO	Metro Toronto Convention Centre	10-Nov-1995	\$ 46,500	\$ -	\$ 118,257	\$ -	\$ -	\$ 164,757	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1993-115	R1996	14-Jun-1993	28-Feb-1993	Jon Johnson	Keith & Christine Norris	27-Sep-1993	\$ -	\$ -	\$ 1,039	\$ -	\$ -	\$ 1,039	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1993-116	R2003	30-Jun-1993	31-Jan-1991	Norman Schipper	Stephen Mitchell Realty Ltd/L&D Investments Ltd.	19-Nov-1993	\$ -	\$ -	\$ 1,330	\$ -	\$ -	\$ 1,330	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1993-125	R2488	30-Jun-1993	1-Aug-1988	Tom Macdonald	Hong kong Bank of Canada	14-Feb-1995	\$ -	\$ -	\$ 802	\$ -	\$ -	\$ 802	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-008	R2823	16-Aug-1993	1-Jan-1990	RENATE HERBST	SOCIETE GENERALE (CANADA)	3-Nov-1994	\$ -	\$ 1,504	\$ -	\$ -	\$ -	\$ 1,504	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-021	R3109	15-Sep-1993	1-Mar-1988	Gerald Ross	Income Trust Company	10-Feb-1995	\$ -	\$ -	\$ 7,061	\$ -	\$ -	\$ 7,061	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-025	R3211	23-Sep-1993	1-Feb-1990	DAVID HALPENNY	Dr. Gordon Eckler	7-Mar-1994	\$ -	\$ -	\$ 3,098	\$ -	\$ -	\$ 3,098	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-039	R3575	27-Oct-1993	26-Apr-1989	KENNETH M. KARP	WIDPAR FINANCIAL GRP INC.	27-Sep-1995	\$ -	\$ -	\$ 3,550	\$ -	\$ -	\$ 3,550	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-046	R3722	9-Nov-1993	9-Jan-1988	Patricia Robinson	CARL BURTON ESTATE OF	2-Jan-1995	\$ -	\$ -	\$ 1,574	\$ -	\$ -	\$ 1,574	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-067	S0262-K	26-Jan-1994	1-Dec-1986	JOHN ALTON	GREYVEST LEASING INC.	17-Jan-1995	\$ -	\$ 2,093	\$ 16,229	\$ -	\$ -	\$ 18,322	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-075	S-0409	10-Feb-1994	1-Apr-1991	Kenneth Snider	DRG INC.	29-Feb-1996	\$ -	\$ -	\$ 950	\$ -	\$ -	\$ 950	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-139	S1938-K	24-Jun-1994	1-Nov-1993	Gerald Ross	Kingsabbey Investments / Rollingparke Limited	23-Feb-1995	\$ -	\$ 1,349	\$ -	\$ -	\$ -	\$ 1,349	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-151	S1969	29-Jun-1994	1-Jan-1986	Tom Macdonald	Kathryn Holbrook	31-May-1996	\$ -	\$ 1,288	\$ -	\$ -	\$ -	\$ 1,288	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1994-152	S1979	28-Jun-1994	1-May-1989	Graham Smith	Peter Krawec	17-Dec-1997	\$ 142,499	\$ 2,357	\$ 64,595	\$ -	\$ -	\$ 209,451	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-028	S2799-Q	23-Sep-1994	1-Nov-1982	Donald Pierce	IBM Canada Inc.	4-Oct-1995	\$ -	\$ -	\$ 3,872	\$ -	\$ -	\$ 3,872	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-029	S3258	8-Nov-1994	1-Jun-1990	Martin Day	Hill Samuel Bank	26-Feb-1996	\$ -	\$ 1,312	\$ -	\$ -	\$ -	\$ 1,312	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-076	S3431	24-Nov-1994	1-Jan-1989	Ira Berg	Investors Group Trustco Ltd. - File 1	11-Jul-1995	\$ -	\$ -	\$ 747	\$ -	\$ -	\$ 747	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-077	T0038S	13-Jan-1995	1-Jun-1993	Neil Harris	Canadian Solifuels Inc	19-Feb-1998	\$ -	\$ -	\$ 5,685	\$ -	\$ -	\$ 5,685	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-097	UR	27-Mar-1995		Stephen Halperin	Paine Webber Inc./Wertheim Schroder & Co. Inc.	12-Oct-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-126	T0749R	25-May-1995	1-Apr-1989	Charles J. Schwartz	Consulate I Properties Limited Partnership	4-Apr-1996	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-132	T-0884	16-Jun-1995	1-Apr-1994	Earl Rotman	Julia and Tony Yip(Golden Maple Leaf et al)	28-Feb-2002	\$ -	\$ -	\$ 171,810	\$ -	\$ -	\$ 171,810	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-133	T0878	15-Jun-1995	1-Apr-1994	Joel Schachter	Greyvest Inc.	16-Apr-1996	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1995-167	T0539	5-Apr-1995	1-Feb-1994	Ira Berg	Investors Group Trustco Ltd. - File 2	9-Nov-1999	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1996-025	T1436	3-Oct-1995	1-Dec-1994	Donald Pierce	ONTARIO HOSPITAL ASSOCIATION	5-Dec-1997	\$ -	\$ 4,494	\$ 31,898	\$ -	\$ -	\$ 36,392	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1996-040	T1800-L	1-Dec-1995	6-Nov-1995	KEN CROFOOT	GAN, SIMCOE & ERIE	30-Jun-1996	\$ -	\$ -	\$ 671	\$ -	\$ -	\$ 671	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1996-055	T2054	25-Feb-1996	1-Apr-1994	Francesca Guolo	Ault Foods Limited	1-Nov-1996	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1996-094	U0462	30-Apr-1996		Edwin A. Goodman	Central Guaranty Trustco Limited	31-May-1996	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1996-099	U0510	9-May-1996	1-Aug-1994	Gale Rubenstein	Mastercraft Group/Greenbergs	16-Nov-1999	\$ 125,000	\$ 2,849	\$ 39,675	\$ -	\$ -	\$ 167,524	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1996-110	U0736	20-Jun-1996	1-Nov-1995	Donald G. Pierce	Midtown Properties	29-Aug-1997	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1997-005	U1020-R	15-Aug-1996	15-Jul-1995	Benjamin Zarnett	Issie and Nancy Goldman	11-Mar-1996	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS1997-009	U0984	19-Jul-1996	21-Dec-1995	Glen Ernst	Allan Richman/440894 Ont Ltd./Forward Properties	15-Jul-1997	\$ -	\$ 561	\$ -	\$ -	\$ -	\$ 561	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	

Claim No	LS File #	Report Date	Error Date	Insured	Claimant	Close Date	Law Society						CLLAS									
							LS Indemnity Paid	LS Other Paid	LS Legal Paid	LS Indemnity Reserve	LS Legal Reserve	LS Total Incurred	CLLAS Indemnity Paid	CLLAS Legal Paid	CLLAS Adjusting Paid	CLLAS Recov Other Paid	CLLAS Adjusting Reserve	CLLAS Indemnity Reserve	CLLAS Legal Reserve	CLLAS Recov Other Reserve	CLLAS Total Incurred	
CLLAS2010-028	09E1341	29-Sep-2009	30-Jan-2008	Frederick Myers	Robert Verdun (not client)	31-Mar-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-053	No CST	2-Nov-2009		Sheldon Freeman	Frank and Ferne D'Addario	13-Jul-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-061	09E1715	24-Nov-2009	1-Jan-2009	David Zitzerman	Bachi Corp.	14-Sep-2011	\$ 800,000	\$ -	\$ 100,719	\$ -	\$ -	\$ 900,719	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-092	10E0030	12-Jan-2010	13-Nov-2009	John Keefe	Alexander Josipovicz	29-Oct-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-093	06E1553	11-Jan-2010		Benjamin/Francy Zarnett/Kussner	Don Jack in Action Against Him by Bernard Sherman	9-Mar-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-111	10E0227	1-Mar-2010	27-Oct-2006	Stephen K. Belgue	Canadian Tire Corporation Limited	23-Jun-2014	\$ 714,942	\$ -	\$ 285,058	\$ -	\$ -	\$ 1,000,000	\$ 4,356,558	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,356,558
CLLAS2010-124	P&T	19-Mar-2010		Ronna Hoffer	Bad Boy Furniture Warehouse Limited	3-Nov-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-125	10E0285	15-Mar-2010		Gale Rubenstein	Lawrence Kevin Clooney	16-Mar-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-008b	14E0905	3-Jun-2014	7-Dec-1997	Kenneth Crofoot	Ludmer Steinberg (Sandringham)	5-Dec-2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-037	10E1544	2-Nov-2010	15-Jan-2010	Nando De Luca	2JG Investments Limited and 961284 Ontario Limited	13-Dec-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-061	10E1735	8-Dec-2010	4-Jul-2008	Jonathan David Lampe	OntarioTeachers' Pension Plan Board et al	17-Jun-2014	\$ -	\$ -	\$ 13,778	\$ -	\$ -	\$ 13,778	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-063	10E1739	3-Dec-2010	12-Dec-2007	Daniel Shapira	CPP Investment Board Real Estate Holdings Inc.	20-Jul-2011	\$ 213,000	\$ -	\$ -	\$ -	\$ -	\$ 213,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-065	10E1826	13-Dec-2010	3-Nov-2000	Neil Harris	Sentinel Hill Production Services Ltd	7-Mar-2017	\$ -	\$ -	\$ 4,074	\$ -	\$ -	\$ 4,074	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-151	No CST	11-Apr-2011		Peter H. Mandell	Dufferin-401 Properties Limited	29-Jul-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-158	11E0473	13-Apr-2011	25-Mar-2010	David Bish	Former Directors and Officers of Cover-All Buildin	30-Jun-2013	\$ -	\$ -	\$ 10,158	\$ -	\$ -	\$ 10,158	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-159	11E0487	13-Apr-2011	10-Jan-2011	David Lederman	Andrew Howarth, Storetech Solutions Inc. and Store	28-Apr-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-036	11E1497	13-Oct-2011	20-Dec-2007	Lawrence Chernin	Sim Video Productions Limited et al	11-Jul-2012	\$ -	\$ -	\$ 7,627	\$ -	\$ -	\$ 7,627	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-112	12E0296	9-Mar-2012	15-Nov-2011	Stephen Bloom	John Hamilton	20-Mar-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-114	12E0315	12-Mar-2012	25-May-2009	David Daniel Conklin	Cassels Brock & Blackwell LLP	27-Aug-2018	\$ -	\$ -	\$ 661	\$ -	\$ -	\$ 661	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-118	12E-0358	19-Mar-2012		Fred Myers	Eriberto Di Paolo and Rita Blondin	26-Mar-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-134	12-0202	15-Mar-2012	18-Jun-2009	David Leslie Redford	Genalta Power Inc.	30-Apr-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-178	12E0987	29-Jun-2012	23-Mar-2012	Fred Myers	Atul Bali	30-Jun-2014	\$ -	\$ -	\$ 57,822	\$ -	\$ -	\$ 57,822	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2013-099	13E0262	1-Mar-2013	24-Sep-2006	Jon Everett Northrup	6482619 Canada Inc.	31-Dec-2016	\$ 425,000	\$ -	\$ 83,953	\$ -	\$ -	\$ 508,953	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2014-085	14E0252	24-Feb-2014	9-Aug-2011	Ira Berg	ARE-BJ Holdings No. 1, Inc.	31-Dec-2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2014-101	14E0414	26-Mar-2014	10-Nov-2010	Avi Sugar	Minto Metropia	29-May-2015	\$ -	\$ -	\$ 5,458	\$ -	\$ -	\$ 5,458	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2014-137	14E0850	9-Jun-2014	14-Feb-2014	Jason/Mark Wadden/Dunn	Anthonio Carvalho	25-Sep-2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-031	14E1697	24-Oct-2014	5-Sep-2013	Tara Parker	Camel Entertainment, Inc.	2-Dec-2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-125	15E0863	12-Jun-2015	14-Mar-2014	William Arnold Chat Ortvad	Alcion Real Estate Partners et al	19-Aug-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2017-010	15E2365	28-Jul-2016	26-Oct-2014	Melaney Wagner	2138747 Ontario Inc.		\$ -	\$ -	\$ 364,617	\$ 100,000	\$ 535,383	\$ 1,000,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ -
CLLAS2017-035	16E1653	3-Oct-2016		Stephen Halperin,William Arnold Chat Ortvad	Peter Snucins,Deborah Snucins	23-Feb-2017	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2017-152	17E0932	5-Jun-2017	1-Jan-2008	Roslyn Houser	Mason Homes Limited	21-Dec-2018	\$ -	\$ -	\$ 27,949	\$ -	\$ -	\$ 27,949	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2018-052	TBA	11-Jan-2018		Monique McAlister	Kosiner Venture Capital Incorporated,Evan Kosiner	29-Jan-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2018-066	18E0223	15-Feb-2018	19-Dec-2016	Tom Macdonald	York Region Vacant Land Condominium Corporation No. 1010	9-Jan-2019	\$ -	\$ -	\$ 5,587	\$ -	\$ -	\$ 5,587	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2018-068	18E0250	16-Feb-2018	16-Dec-2017	Kenneth Crofoot	Aecon Group Ltd	21-Sep-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2019-007	No CST / TBA	27-Jul-2018		Patricia Robinson	Noah Godfrey	10-Feb-2020	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2019-021	18E1611	11-Sep-2018	25-Jun-2015	Bram Green	Beaux Properties International Inc.	23-Jan-2020	\$ 21,770	\$ -	\$ 7,825	\$ -	\$ -	\$ 29,595	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2019-072	19E0117	29-Jan-2019	28-Sep-2018	Fred M. Rubinoff	1940282 Alberta Limited	28-Aug-2019	\$ -	\$ -	\$ 14,274	\$ -	\$ -	\$ 14,274	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2020-048	19E2215	5-Nov-2019	1-Jan-2019	Brad Ross	Jay Dodds,Brad Green	22-Jan-2020	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2021-033	20E1766	27-Oct-2020	15-Aug-2017	Francy Kussner	Riveroaks Investments Inc.		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2021-052	20E2161	16-Dec-2020		David Bronskill	36 Eglinton Duplex LP		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total							\$ 4,411,090	\$ 28,983	\$ 3,302,739	\$ 100,000	\$ 535,383	\$ 8,378,195	\$ 18,356,558	\$ 390,929	\$ -	\$ -	\$ -	\$ -	\$ 500,000	\$ -	\$ 19,247,487	\$ -

APPENDIX G



 Home  Feed  Sites

 Page

[Risk Management](#) > [Pages](#) > [Policies and Procedures](#)

Policies and Procedures

Risk Management

- [Risk Management Policy and Procedures – Anti-Corruption](#)
- [Risk Management Policy and Procedures – Audit Inquiry](#)
- [Risk Management Policy and Procedures – Client-Matter Intake and Conflict Searches](#)
- [Risk Management Policy and Procedures – Confidentiality and Trading Securities](#)
- [Risk Management Policy and Procedures – Directorship - Letter to Corporation re Limitation of Directorship Role](#)
- [Risk Management Policy and Procedures – Directorship Approval Form](#)
- [Risk Management Policy and Procedures – Directorships](#)
- [Risk Management Policy and Procedures – Documents to be Filed on SEDAR with Redacted Information](#)
- [Risk Management Policy and Procedures – e-Signatures](#)
- [Risk Management Policy and Procedures – Ethical Walls](#)
- [Risk Management Policy and Procedures – Investments and Opportunities](#)
- [Risk Management Policy and Procedures – Legal Opinions](#)
- [Risk Management Policy and Procedures - Ownership Enquiry - Prospectus and Information Circulars](#)
- [Risk Management Policy and Procedures – Search Warrants](#)
- [Risk Management Policy and Procedures – Service of Documents](#)
- [Risk Management Policy and Procedures – Tax Opinions](#)
- [Risk Management Policy and Procedures – Third Party Privacy](#)

APPENDIX H

Cyber Liability

Name of Firm

Goodmans LLP

1	Personnel	Enter Yes or No
a)	Do you have a Chief Security Officer or Chief Information Security Officer or equivalent?	No
	If "no", who within the Firm is responsible for the management of and compliance with the Firm's Security Policies?	
	Director, Technology is responsible for management of and compliance with security policies	
b)	Do you have a Chief Privacy Officer or equivalent?	No
	If "no", who within the Firm is responsible for the management of and compliance with the Firm's Privacy Policies?	
	Chief privacy officer is Managing Director. Emails to privacyofficer@goodmans.ca are delivered to the mailbox of the Managing Director and two partners, one of whom is general counsel	
2	Protection	Enter Yes or No
a)	Do you use encryption tools to enhance the integrity and confidentiality of confidential information?	Yes
	If you use encryption tools, in which scenarios is data encrypted? (Check all statements that you believe are applicable.)	
	- Data at rest	Yes
	- Data in transit	Yes
	- Data transferred to removable media (laptops, CD's, backup tapes, USB devices, etc.)	
	- None of the above	
b)	Do you use and regularly update industry-standard antivirus software?	Yes
c)	Do you install the latest software updates to reduce security vulnerabilities?	Yes
d)	Do you require that passwords be a minimum length and contain alpha and numeric characters?	Yes
e)	Do you require that passwords be regularly updated?	Yes
f)	Do you check to make sure that no spyware or adware resides on your computers?	Yes
g)	Do you use and regularly update industry-standard firewall protection systems to prevent unauthorized access to internal networks and computer systems?	Yes
h)	Is the data on your servers encrypted?	Yes
i)	Is the data on your desktop and laptop computers encrypted?	Yes
j)	Is the data on your mobile devices encrypted?	Yes
k)	Have predesignated computer system/application access rights and privileges been set for all authorized users?	Yes
l)	Is there hourly or daily automatic backup of documents and emails?	Yes
m)	Is there hourly or daily automatic backup of your firm-wide tickler system and/or your lawyers' own personal tickler systems?	Yes
n)	Are backups stored off-site at a secure location?	Yes
o)	Do you use software that can be used to wipe laptops and mobile devices clean if they are misplaced or stolen?	Yes

APPENDIX H

Cyber Liability

Name of Firm

Goodmans LLP

- | | | |
|----|---|-----|
| p) | Do you use software that can detect unauthorized transfers of personal information and unauthorized copying of files? | No |
| q) | Do you use a metadata scrubber on documents that you transmit to clients or third parties such as opposing counsel? | Yes |

3	Incident Report	Enter Yes or No
---	-----------------	-----------------

	Do you have a written network security incident response plan?	Yes
--	--	-----

If "yes":

- | | | |
|----|---|-----|
| a) | Does it include alternative options should a critical third party outsourcing provider's operations be incapacitated? | No |
| b) | Does it include procedures to alert your clients that their data may have been compromised? | Yes |

4	Policies	Enter Yes or No
---	----------	-----------------

- | | | |
|----|---|-----|
| a) | Do you maintain a comprehensive information security and privacy policy that is updated and enforced on a continuous basis? | Yes |
| b) | Do you advise your lawyers of the risks of using unencrypted email? | Yes |
| c) | Does your firm advise your lawyers of the dangers of metadata? | Yes |
| d) | Do you purchase insurance other than CLLAS coverage to protect you in the case of privacy breaches? | Yes |
| e) | Do you purchase insurance other than CLLAS coverage to protect you in the case of cyber-attacks? | Yes |

Online 2021 Firm Filing Review

General LAW FIRM Information

1. Firm Information

Name of LAW FIRM:

Address:

Phone Number:

Fax Number:

E-mail address:

Firm Website(s):

Managing Partner/LAWYER:

Office Admin/Manager:

Claims Contact:

CPD Contact:

Nature of Law Practice:

2. Contact name and title

Indicate the preferred firm contact for insurance matters.

Name:

Title:

3. Number of PARALEGAL PARTNER(S) OR SHAREHOLDER(S) (if applicable) and LAWYERS in LAW FIRM in Ontario

Indicate the current number of PARALEGAL PARTNER(S) OR SHAREHOLDER(S) (if applicable) and LAWYERS in the LAW FIRM in Ontario.

4. Number of staff in LAW FIRM in Ontario who are not LAWYERS

Indicate the current number of staff in the LAW FIRM in Ontario who are not LAWYERS. Include all staff who provide law-related services who are directly or indirectly employed, whether through management, other companies or otherwise, by the LAW FIRM or by any of the LAWYERS in the LAW FIRM or any spouse, including those EMPLOYEES who are casual or part-time EMPLOYEES. Independent contractors such as bookkeepers, PARALEGALS, researchers, etc. who are not EMPLOYEES of the LAW FIRM should not be included.

5. Excess liability insurance

Your excess insurers include:

Liability limits:

(per CLAIM/aggregate in excess of LAWPRO POLICY limits)

\$ Million **per CLAIM**

\$ Million **aggregate**

6. Volume Billings

Indicate the **Average** Gross Billings **per** LAWYER in the LAW FIRM.

Average Gross Billings:

LAW FIRM's Coverage Options

7. DEDUCTIBLE Option

8. Innocent Party Sublimit Coverage

9. Restricted Area of Practice Option: Criminal and/or Immigration Law

10. Real Estate Practice Coverage Option

LAW FIRM's Premium Payment Options

11. Third-party payor authorization:

The LAWYERS` 2021 insurance premium will be paid by a third party, other than another LAWYER or PARALEGAL PARTNER OR SHARHOLDER in the LAW FIRM, the LAW FIRM itself, or a management or other company of the LAW FIRM.

If the LAWYERS` 2021 insurance premiums will be paid by a third party as described above, the undersigned LAWYER agrees to obtain the consent of the third party authorizing the transaction and providing for the use and disclosure of personal information in accordance with privacy legislation that came into effect on January 1, 2004.

This third party authorization will apply to future policy years, unless LAWPRO is advised in writing otherwise.

12. Instalment Option

13. Credit Card Payment Information

14. Pre-authorized Bank Payment Information

Institution:

Transit:

Account No:

Account Name:

15. Premium Payment Authorization

(complete only if paying by credit card or pre-authorized bank account withdrawal)

The undersigned LAWYER authorizes LAWPRO to charge against the designated credit card or withdraw from the account and financial institution indicated on the account information provided, the appropriate insurance premium (including taxes), based on the payment option indicated above. The undersigned LAWYER understands that LAWPRO does not charge for this service (but the designated financial institution or credit card company may).

The undersigned LAWYER agrees that this authorization will apply for 2021 and all future policy years, without further authorization, so long as the LAWYER so elects. If any changes are to be made to the payment information or payment option, the LAWYER agrees to notify LAWPRO of such changes, in writing, at least ten (10) days prior to any payment date.

The undersigned LAWYER has read and understands all of the terms and conditions below.

Terms and Conditions:

1. The undersigned LAWYER certifies that the information provided in the authorization is correct.
2. The undersigned LAWYER certifies that the bank account or credit card is in good standing, with sufficient funds to cover the payments as they become due.
3. All payments will be drawn on Canadian financial institutions only, and will be withdrawn in Canadian funds.

Please check this box to evidence your signature for the Declaration above.

16. **I prefer to mail/fax my Premium Payment Information and will forward** , by mail or fax, **a completed Premium Payment Authorization form.**
17. **I prefer to receive our LAW FIRM's 2021 Insurance Premium Invoice by mail**

CLAIM(S) & POTENTIAL CLAIM(S)

18. Other than CLAIM(S) and POTENTIAL CLAIM(S) of which LAWPRO has been notified under the Law Society of Upper Canada program, is any present member or employee of the LAW FIRM aware of any CLAIM(S) or POTENTIAL CLAIM(S) that has (have) been or may be made against the LAW FIRM or against any other on whose behalf this Application is submitted?

Filer Information

19. Name, Phone, and E-mail

Name:
Phone:
E-mail:

This Declaration shall constitute and form part of the 2021 Application Form for LAWPRO Professional Liability Insurance filed on behalf of each LAWYER in the Law Firm listed in the Member List.

It is understood, warranted and acknowledged that the undersigned LAWYER is authorized to act as agent for the purposes of this insurance on behalf of each of the LAWYERS. The LAWYERS each warrant and acknowledge that the information provided with this Application Form:

- is true and complete, or where estimates are required, that such estimates are reasonable;
- will be relied on by LAWPRO in assessing risk, in offering any terms of insurance and in issuing any policy of insurance;
- will be the basis of and form part of any resulting policy of insurance; and
- the information and options selected on this form should apply for 2021.

LAWYERS not currently carrying LAWPRO professional liability insurance coverage each acknowledge having read the [LAWPRO Personal Information Statement for Ontario LAWYERS and PARALEGALS \(LICENSEES\)](#) (which forms part of this Application Form). The LAWYERS consent to the collection, use and disclosure of personal information in any optional program(s) for which the LAWYERS choose to apply or are to be named as an INSURED/s in, now or in future policy years, in accordance with that Statement.

The LAWYERS each acknowledge his/her own on-going duty, through to the date of policy inception, to advise LAWPRO in writing of any material changes with respect to their practice circumstances.

Please check this box to evidence your signature for the Warranty & Signature Declaration above.

